

Elementary and Secondary School Counseling Programs

**Information and Application Procedures
FY 2002**

Application Deadline: MAY 13, 2002



**OMB No. 1890-0009 Expiration Date: 06/30/2002
(CFDA # 84.215E)**

U.S. Department of Education

**Office of Elementary and Secondary Education
Safe and Drug-Free Schools Program**

A Brief Introduction

The focus of the competition described in this application package is the Elementary and Secondary School Counseling Programs. This new discretionary grant program will provide funding to local educational agencies to establish or expand elementary school counseling programs, with special consideration given to applicants that can demonstrate the greatest need for counseling services in the schools to be served, propose the most innovative and promising approaches, and show the greatest potential for replication and dissemination.

Authority

This competition is authorized under Title V, Part D, Subpart 2 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001. In Fiscal Year 2002 funds for this program were appropriated under the Fund for the Improvement of Education (FIE) and operated by the Safe and Drug-Free Schools Program (SDFSP).

Eligibility

Eligible applicants under this competition are local educational agencies. **[Note: Section 5421(g)(2) of the No Child Left Behind Act of 2001 requires the Secretary to award grants to LEAs to establish or expand counseling programs in elementary schools if the appropriation for the program is less than \$40,000,000. The appropriation for fiscal year 2002 is \$32,500,000, so FY 2002 funds may be used only to establish or expand counseling programs in elementary schools].**

Note to Applicants

This is a complete application package for the Elementary and Secondary School Counseling Program. Together with the statute authorizing the program, the Federal Register notice and the Education Department General Administrative Regulations (EDGAR), this package contains all of the information, application forms, and instructions needed to apply for the grant. This application should be prepared following the instructions and criteria.

Applicants should clearly indicate in Item 4 of ED 424 the CFDA number and alpha suffix of the competition (CFDA# 84.215E) for which funds are being requested.

Deadline Extensions

Under very extraordinary circumstances the Department may change the closing date for a competition. When this occurs, the Secretary announces such a change in a notice published in the Federal Register. Waivers for individual applications failing to meet the deadline will not be granted, regardless of the circumstances.

Maximum Awards

Applicants may request up to \$400,000 per year under this program. **Applications submitted for more than \$400,000 per year will be ruled ineligible and will not be read.** An estimated 7 awards will be made. The Department of Education is not bound by any estimates in this application package.

Limit on Administrative Costs

Not more than four percent of the total award in each of the project years may be used for administrative costs.

Official Documents Notice

The official document governing this competition is the Notice of Final Priority and Selection Criteria published in the Federal Register on **March 28, 2002**. This notice is also available electronically at the following web site: and <http://ocfo.ed.gov/fedreg.htm>.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the information collection is OMB No. 1890-0009. The time required to complete the information collection is estimated to average 28 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Safe and Drug-Free Schools Program, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E300, Washington, DC 20202-6123.

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NOTICE TO APPLICANTS

I. THE GOVERNMENT PERFORMANCE AND RESULT ACT (GPRA)

The Government Performance Results Act of 1993 (GPRA) is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

GOAL 1: Create a culture of achievement.

GOAL 2: Improve student achievement.

GOAL 3: Develop Safe Schools and Strong Character.

GOAL 4: Transform Education into a Evidence-Based Field.

GOAL 5: Enhance the quality and access to Postsecondary and Adult Education.

GOAL 6: Establish Management Excellence.

The Secretary may choose to develop performance indicators for the Elementary and Secondary School Counseling Programs in accordance with GPRA. If indicators are developed, grantees will be asked to provide information that relates to participant outcomes and project management.

II. GENERAL REQUIREMENTS

The following information applies to the programs described in this application package.

Applicable Regulations

The following Education Department General Administrative Regulations (EDGAR) apply to the competition described in this package:

- 34 CFR Part 75 (Direct Grant Programs)
- 34 CFR Part 77 (Definitions that Apply to Department Regulations)
- 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and Activities)
- 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments)
- 34 CFR Part 81 (General Education Provisions Act—Enforcement)
- 34 CFR Part 82 (New Restrictions on Lobbying)
- 34 CFR Part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants))
- 34 CFR Part 97 (Protection of Human Subjects)
- 34 CFR Part 98 (Student Rights in Research, Experimental Programs, and Testing)
- 34 CFR Part 99 (Family Educational Rights and Privacy)

Other Selection Factors

In making awards under this grant competition, the Secretary shall ensure an equitable geographic distribution among the regions of the United States and among LEAs located in urban, suburban, and rural areas.

Contingent upon the availability of funds, the Secretary may make additional awards in FY 2003 from the rank-ordered list of unfunded applicants from this competition.

III. PROGRAM SPECIFIC REQUIREMENTS

Definitions

For purposes of this competition—

(1) the term ‘child and adolescent psychiatrist’ means an individual who—

(A) possesses State medical licensure; and

(B) has completed residency training programs in both general psychiatry and child and adolescent psychiatry;

(2) the term ‘other qualified psychologist’ means an individual who has demonstrated competence in counseling children in a school setting and who—

(A) is licensed in psychology by the State in which the individual works; and

(B) practices in the scope of the individual’s education, training, and experience with children in school settings;

(3) the term ‘school counselor’ means an individual who has documented competence in counseling children and adolescents in a school setting and who—

(A) is licensed by the State or certified by an independent professional regulatory authority;

(B) in the absence of such State licensure or certification, possesses national certification in school counseling or a specialty of counseling granted by an independent professional organization; or

(C) holds a minimum of a master’s degree in school counseling from a program accredited by the Council for Accreditation of Counseling and Related Educational Programs or the equivalent;

(4) the term ‘school psychologist’ means an individual who—

(A) has completed a minimum of 60 graduate semester hours in school psychology from an institution of higher education and has completed 1,200 clock hours in a supervised school psychology internship, of which 600 hours are in the school setting;

(B) is licensed or certified in school psychology by the State in which the individual works; or

(C) in the absence of such State licensure or certification, possesses national certification by the National School Psychology Certification Board; and

(5) the term ‘school social worker’ means an individual who—

(A) holds a master’s degree in social work from a program accredited by the Council on Social Work Education; and

(B)(i) is licensed or certified by the State in which services are provided; or

(ii) in the absence of such State licensure or certification, possesses a national credential or certification as a school social work specialist granted by an independent professional organization.

Eligible Applicants

Only **Local Educational Agencies** (LEAs) are eligible to apply. LEAs are encouraged to consult or form partnerships with institutions of higher education, non-profit organizations or other entities that can assist in the development of a comprehensive elementary school

counseling program. LEAs may apply in consortia to compete for these funds; however, one of the participating LEAs must act as both lead applicant and fiscal agent, and each participating LEA must ensure that all requirements of the priority for this competition are met.

Length of Project

Projects will be funded up to 36 months contingent upon demonstration of substantial progress each year toward meeting the goals and objectives of the project and the appropriation of future years' funds. **[Note: Applicants requesting multi-year awards must submit ED Form 524 and detailed budget information for each year of funding requested in order to be eligible for continuation funding in years two and three of the project.]**

Evaluation Requirements

Successful applicants are required to evaluate annually the effectiveness and outcomes of the activities funded under this competition. In addition, applicants must agree to provide data to the Secretary on the effectiveness and outcomes of the services and activities assisted by this grant and to cooperate with any national evaluation the Secretary may require.

Required Grantee Meeting

Applicants are required to include sufficient funds in the travel budget for the project director and one other person to attend one annual grantee meeting in Washington, DC, or regional and national conferences sponsored by the Department. Grant funds may be used to pay all expenses associated with attending the meeting.

IV. APPLICATION INFORMATION AND SELECTION CRITERIA— ELEMENTARY AND SECONDARY SCHOOL COUNSELING PROGRAMS

Background

The Elementary and Secondary School Counseling Program will provide funds to allow elementary schools to expand their capacity to provide counseling services and to identify model strategies, enhance knowledge of what works, and expand the inventory of effective counseling programs. The emphasis of the program is on counseling services that focus on prevention and early intervention services for elementary school students.

During elementary school, students develop attitudes concerning school, self, peers, social groups, families, critical life skills, and character values. Elementary school counseling services can contribute to the personal growth, educational development, and emotional well being of students. Research suggests that high quality counseling services can have long-term effects on a child's well being and can prevent a student from turning to violence and drug or alcohol abuse. High quality school counseling services also can improve a student's academic achievement. Studies on the effects of school counseling have shown positive effects on students' grades, classroom disruptions, and teachers' ability to manage classroom behavior effectively. High quality school counseling services can also help in addressing students' mental health needs.

The Elementary and Secondary School Counseling Program will provide resources to enable schools to develop promising and innovative approaches for initiating or expanding elementary school counseling. This program will support the hiring and training of qualified school counselors, school psychologists, child and adolescent psychiatrists, and school social workers, for elementary schools; provide greater student access to beneficial counseling services; and help identify effective strategies for providing counseling services to elementary school students that show potential for replication and dissemination.

Absolute Priority

Under 34 CFR 75.105(c)(3) and Title V, Part D, Subpart 2 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001, the Secretary gives an absolute preference to applications that meet the following priority. The Secretary funds under this competition only applications that meet this absolute priority.

Under the absolute funding priority for this grant competition, LEA projects must establish or expand elementary school counseling programs at schools with at least one grade below fifth and no grade higher than eighth.

IN ORDER TO RECEIVE FUNDING, PROJECTS MUST MEET THE ABOVE ABSOLUTE PRIORITY, IN ADDITION TO THE FOLLOWING 12 STATUTORY REQUIREMENTS.

Statutory Requirements

The statute requires each program assisted under this competition to—

- (1) be comprehensive in addressing the counseling and educational needs of all students;
- (2) use a developmental, preventive approach to counseling;
- (3) increase the range, availability, quantity, and quality of counseling services in elementary schools of the local educational agency;
- (4) expand counseling services through qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists;
- (5) use innovative approaches to increase children's understanding of peer and family relationships, work and self, decision making, academic and career planning, or to improve peer interaction;
- (6) provide counseling services in settings that meet the range of student needs;
- (7) include in-service training appropriate to the activities funded under this program for teachers, instructional staff, and appropriate school personnel, including in-service training in appropriate identification and early intervention techniques by school counselors, school social workers, school psychologists, other qualified psychologists, and child and adolescent psychiatrists;
- (8) involve parents of participating students in the design, implementation, and evaluation of the counseling program;
- (9) involve community groups, social service agencies, or other public or private entities in collaborative efforts to enhance the program and promote school-linked integration of services;
- (10) evaluate annually the effectiveness and outcomes of the counseling services and activities assisted under this section;
- (11) ensure a team approach to school counseling in the schools served by the LEA by working toward ratios recommended by the American School Health Association of one school counselor to 250 students, one school social worker to 800 students, and one school psychologist to 1,000 students; and
- (12) ensure that school counselors, school psychologists, other qualified psychologists, school social workers, or child and adolescent psychiatrists paid from funds made available under this section spend a majority of their time counseling students or in other activities directly related to the counseling process.

The statute also requires each grantee to—

- (1) assure that the funds made available for any fiscal year will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students; and
- (2) assure that the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators, counseling service providers, and community leaders to advise the LEA on the design and implementation of the counseling program.
- (3) use not more than 4 percent of the amounts made available for any fiscal year for administrative costs.

Selection Criteria

The following selection criteria will be used to evaluate applications for new grants under this competition. The maximum score for all of these criteria is 100 points. The maximum score for each criterion is indicated in parenthesis with the criterion.

(1) Need for the project (20 points).

(A) The Secretary shall give special consideration to applicants that demonstrate the greatest need for counseling services among children in the elementary schools served by the project;

(B) In determining applications with the greatest need the following factors are considered:

- (i) The magnitude or severity of the problem to be addressed by the proposed project;
- (ii) The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project; and
- (iii) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses; and

(C) In describing the proposed project, applicants must:

(i) Describe the school population to be targeted by the program; the particular counseling needs of that population; the current ratios of students to school counselors, students to school social workers, and students to school psychologists; and the current school counseling resources available for meeting such needs; and

(ii) Describe how diverse cultural populations, if applicable, will be served through the program.

(2) Quality of the project design (20 points).

(A) Applicants must propose projects that demonstrate the most promising and innovative approaches for initiating or expanding counseling services in the target schools;

(B) In determining the quality of the project design the following factors are considered:

- (i) The extent to which the design of the proposed project is appropriate to, and will successfully address, the counseling needs of the target population;
- (ii) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance;
- (iii) The extent to which the proposed project will establish linkages with other appropriate agencies or organizations providing services to the target population; and

(C) In describing the project design, applicants must:

(i) Describe the activities, services, and training to be provided by the program and the specific approaches to be used to meet the needs of the target population; and

(ii) Describe how the LEA will involve community groups, social service agencies, and other public and private entities in collaborative efforts to enhance the program and promote school-linked services integration.

(3) Quality of the project evaluation (20 points).

(A) Applicants must provide a detailed description of their plan to annually evaluate the outcomes and effectiveness of the proposed counseling services and strategies;

(B) In determining the quality of the project evaluation the following factors are considered:

(i) The extent to which the methods of evaluation are thorough, feasible, measureable, and appropriate to the goals, objectives, and outcomes of the proposed project;

(ii) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and

(iii) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings; and

(C) In describing the proposed project evaluation, applicants must:

(i) Describe the methods to be used to evaluate the outcomes and effectiveness of the project; and

(ii) Agree to cooperate with any national evaluation of this grant competition that we may require.

(4) Quality of the management plan (20 points).

(A) Applicants must provide a detailed description of their plan to manage the activities outlined in their proposal;

(B) In determining the quality of the management plan the following factors are considered:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;

(ii) The extent to which the time commitments of the project director, project evaluator, and other key project personnel are appropriate and adequate to meet the objectives of the proposed project; and

(iii) The extent to which the applicant will ensure that a diversity of perspectives is brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate; and

(C) In describing the management plan, applicants must:

(i) Describe how the LEA will involve community groups, social service agencies, and other public or private entities in collaborative efforts to enhance the program and promote school-linked services integration; and

(ii) Document that the LEA has the personnel qualified to develop, implement, and administer the program.

(5) Adequacy of resources (20 points).

(A) Applicants must describe the resources committed to the proposed project;

(B) In determining the adequacy of resources for the proposed project, the following factors are considered:

(i) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;

(ii) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits; and

(iii) The potential for the incorporation of the project purposes, activities, or benefits into the ongoing program of the agency or organization at the end of Federal funding.

V. APPLICATION CONTENTS

A completed application for assistance under this competition consists of two parts: (1) all forms and assurances that must be submitted in order to receive a grant and (2) a detailed narrative description of the proposed project and the budget to support it. Applicants should carefully review the Selection Criteria on pages 12 through 14 for information on items that must be covered in the narrative description. Each eligible application received by the deadline date will be reviewed by a panel of nonfederal readers with experience in school-based prevention programs, providing counseling services, programs for at-risk youth, counseling or other social services for elementary school students.

The panel will award up to a total of one hundred points for the five selection criteria based on the quality and completeness of the narrative description. In describing the proposed project, applicants should take care to provide a comprehensive response to all of the items under the selection criteria that are preceded by a number and by a letter. Applications that fail to do so will be read, but experience suggests they may not score well enough to be funded.

Organizing the Application

We recommend that applicants organize the information in their application in the following order. All pages should be numbered consecutively to make review and evaluation easier.

1. **Application for Federal Assistance**: (Title Page – ED Form 424, Rev 1-12-99). Applicants must include CFDA # 84.215E in Item 4 of ED Form 424.
2. **Table of Contents**: An itemized listing of each section of the application package, including page numbers.
3. **Budget Information**: (ED Form 524). Provide amounts for major budget categories. Note that a budget must be submitted for each year in which funds are requested. **Failure to supply a budget for each year of the project will result in no funding for those years.**
4. **Budget Justification**: This is a detailed description of all expenditures necessary to carry out the proposed project. Expenditures should be broken down accordingly to the categories on the budget summary form (ED 524). Provide an explanation of how the indirect cost rate was calculated. **Be sure to include a budget and a narrative description detailing for each year of funding requested.**
5. **Program Abstract**: Clearly mark this page with the applicant/organizational name as shown in Item 1 of ED 424 and the title of the project as shown in Item 13 of the same form. The summary, not to exceed one page, should accurately and concisely reflect the proposal and include a description of the objectives of the project, approaches to be used, and the outcomes expected.

6. **Program Narrative Statement**: Applicants should organize the Program Narrative according to the Selection Criteria specified in Section IV. The narrative should address all the criteria and all of the factors under each criterion. The narrative should also address all the statutory requirements (1 through 12) listed in Section IV. The pages of the narrative section must be numbered and should be limited to **25 typed** pages, courier font size 12, double-spaced, printed only on one side, with a 1 inch margin on all sides. It is in the best interest of applicants to ensure that the narrative statement is easy to read, logically developed in accordance with selection criteria, and fully addresses each rating factor.

7. **General Education Provisions Act (GEPA) Section 427**: Section 427 of GEPA affects applicants for new discretionary grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS PROVISION, SUMMARIZED BELOW, IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, or others, from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

NOTE: A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

Examples

The following examples help illustrate how an applicant may comply with section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it tends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

8. **Assurances/Certifications**: Standard Form 424B, Assurances -- Non-Construction Programs, ED 80-0013 -- Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, ED 80-0014 -- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions, and the Program Specific Assurances need to be signed and returned with the application. By signing the Standard Form 424B, the applicant agrees to abide by requirements regarding drug-free workplace, debarment and environmental tobacco smoke.

Paperwork Burden Statement for GEPA 427

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 is OMB No. 1890-0009. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Safe and Drug-Free Schools Program, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E300, Washington, DC 20202-6123.

VI. APPLICATION SUBMISSION PROCEDURES

Pilot Project For Electronic Submission Of Applications

In Fiscal Year 2002, the U.S. Department of Education is expanding its pilot project of electronic submission of applications to include certain formula grant programs, as well as additional discretionary grant competitions. The Elementary and Secondary School Counseling Program is one of the programs included in the pilot project. If you are an applicant under the Elementary and Secondary School Counseling Program, you may submit your application to us in either electronic or paper format.

The pilot project involves the use of the Electronic Grant Application System (e-APPLICATION, formerly e-GAPS) portion of the Grant Administration and Payment System (GAPS). We request your participation in this pilot project. We shall continue to evaluate its success and solicit suggestions for improvement.

If you participate in this e-APPLICATION pilot, please note the following:

- Your participation is voluntary.
- You will not receive any additional point value or penalty because you submit a grant application in electronic or paper format.
- You can submit all documents electronically, including the Application for Federal Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- Within three working days of submitting your electronic application fax a signed copy of the application for Federal Assistance (ED 424) to the Application Control Center after following these steps:
 1. Print ED 424 from the e-APPLICATION system.
 2. Make sure that the institution's Authorizing Representative signs this form.
 3. Before faxing this form, submit your electronic application via the e-APPLICATION system. You will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).
 4. Place the PR/Award number in the upper right hand corner of ED 424.
 5. Fax ED 424 to the Application Control Center at (202) 260-1349.
- We may request that you give us original signatures on all other forms at a later date.

You may access the electronic grant application for the Elementary and Secondary School Counseling Program at: <http://e-grants.ed.gov>.

We have included additional information about the e-APPLICATION pilot project (see Parity Guidelines between Paper and Electronic Applications) in this application package.

Applications Sent by Mail

You must mail the original and two copies of the application on or before the receipt date, **May 13, 2002** to:

**U.S. Department of Education
Application Control Center
Attention: CFDA# 84.215E
Washington, DC 20202-4725**

To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application.

Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U. S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please follow the instructions for “Applications Delivered by Hand.”

Applications Delivered by Hand

You or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, DC time) on or before the receipt date, **May 13, 2002**.

To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application.

**U.S. Department of Education
Application Control Center
Attention: CFDA# 84.215E
7th and D Streets, SW
ROB-3, Room 3671
Washington, DC 20202-4725**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays and Federal holidays. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building. Please obtain a signed receipt of your delivery.

Closing Date

All applications must be **received** by the Department's Application Control Center no later than 4:30 PM (Eastern Time) on **MAY 13, 2002**. **Applications received after 4:30 PM on the deadline date will not be read.**

NOTES

- (1) The Application Control Center will mail a Grant Application Receipt Acknowledgement to each applicant. If an applicant fails to receive the notification of application receipt within 15 days from the date of mailing the application, the applicant should call the U.S. Department of Education Application Control Center at (202) 708-9493.

FOR FURTHER INFORMATION CONTACT: Loretta McDaniel, U.S. Department of Education, Safe and Drug-Free Schools Program, 400 Maryland Avenue, SW, Room 3E220, FOB #6, Washington, D.C. 20202-6123, (202) 260-2661 or by email at loretta.mcdaniel@ed.gov. Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339 between 8 a.m. and 8 p.m., Eastern Time, Monday through Friday.

Information about the Department's funding opportunities, including copies of application notices for discretionary grant competitions, can be viewed on the Department's electronic bulletin board (ED Board), telephone (202) 260-9950; or on the Internet Gopher Server at (under Announcements, Bulletins and Press Releases); or on World Wide Web at (<http://www.ed.gov/money.html>).

PARITY GUIDELINES BETWEEN PAPER AND ELECTRONIC APPLICATIONS

The Department of Education is expanding the pilot project, which began in Fiscal Year 2000, that allows applicants to use an Internet-based electronic system for submitting applications. This competition is among those that have an electronic submission option available to all applicants. The system, called e-APPLICATION, formerly e-GAPS (Electronic Grant Application package System), allows an applicant to submit a grant application to us electronically, using a current version of the applicant's Internet browser. To see e-APPLICATION, visit the following Web site address at <http://e-grants.ed.gov>.

In an effort to ensure parity and a similar look between applications transmitted electronically and applications submitted in conventional paper form, e-APPLICATION has an impact on all applications under this competition.

Users of e-APPLICATION, a data driven system, will be entering data on-line while completing their applications. This will be more interactive than just e-mailing a soft copy of grant application to us. If you participate in this voluntary pilot project by submitting an application electronically, the data you enter on-line will go into a database and ultimately will be accessible in electronic form to our reviewers.

This pilot project is another step in the Department's transition to an electronic grant award process. In addition to e-APPLICATION, the Department is conducting a limited pilot of electronic peer review (e-READER) and electronic annual performance reporting (e-REPORTS). To help ensure parity and a similar look between electronic and paper copies of grant applications, we are asking each applicant that submits a paper application to adhere to the following guidelines:

- ? Submit your application on 8½" by 11" paper.
- ? Leave a one-inch margin on all sides.
- ? Use consistent font throughout your document. You also may use boldface type, underlining, and italics. However, please do not use colored text.
- ? Please also use black and white for illustrations, including charts, tables, graphs, and pictures.
- ? For the narrative component, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- ? Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document.

However, the official application notice for a discretionary grant competition is the notice published in the FEDERAL REGISTER.

VII. INTERGOVERNMENTAL REVIEW

This grant competition is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79.

Objective

The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Contacts

Applicants must contact the appropriate State Single Point of Contact (SSPOC) to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each State under the Executive Order. **The name and address of each State Single Point of Contact is published in this application notice.**

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department. A copy of the applicant's letter to the State Single Point of Contact must be included with the application.

Deadline

Any State process recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be received by **July 11, 2002** at the following address: The Secretary, E.O.12372--CFDA 84.215E, U.S. Department of Education, Room 6213, 400 Maryland Avenue, SW, Washington, D.C. 20202-0125.

Recommendations or comments may be hand delivered until 4:30 p.m. (Eastern Time) **July 11, 2002.**

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THIS ADDRESS.

VIII. APPENDICES AND FORMS

This section should contain any supplementary information that applicants may choose to submit in support of applicant's capacity and preparation to undertake the proposed project.

These documents may include resumes; letters of agreement with cooperating entities, if appropriate; evaluation results; or other materials. Do not include budget or program narrative information in this section.

Forms

The program specific assurance form is included in the application package. (See page 36)

The ED Forms required to submit the application package are available electronically at the following web site:

<http://www.ed.gov/offices/OCFO/grants/appforms.html>

IX. APPLICATION CHECKLIST

Use This Checklist in Preparing the Application Package: (Please submit this completed checklist with your application).

_____An original and two copies of the application are enclosed. Each page of the application is numbered consecutively. One extra copy is provided voluntarily.

_____All forms in the original application that require a signature are signed in **black** ink.

_____The application face sheet (ED 424)

_____DUNS Number supplied on ED 424. (See inside back cover for instructions on obtaining a DUNS #.)

_____Tax Identification Number supplied on ED 424. (See inside back cover for instructions on including the Tax ID #.)

_____A one-page project abstract

_____A narrative description of the project (up to 25 pages)

_____A budget summary page and supporting budget narrative. **(Be sure to include a budget and supporting narrative description for each year of funding requested.)**

_____All applications must include the required forms, assurances and certifications. Required forms listed below:

- (1) ED 424 – Application for Federal Assistance and Instructions
- (2) ED 524 – Budget Information, Non-Construction Programs and Instructions
- (3) SF 424B – Assurances, Non-Construction Programs
- (4) ED80-0013 – Certifications Regarding Lobbying; Debarment, Suspension & Other Responsibility Matters; and Drug-Free Workplace Requirements
- (5) ED80-0014 – Certification Regarding Debarment, Suspension, Ineligibility & Voluntary Exclusion – Lower Tier Covered Transactions
- (6) SF LLL – Disclosure of Lobbying Activities and Instructions
- (7) Program Specific Assurances (See page 36)

_____GEPA Section 427 Requirement

_____A copy of the letter to the State Single Point of Contact

ADDRESS AND DEADLINE DATE:

Safe and Drug-Free Schools Program
ATTN: CFDA # 84.215E
U.S. Department of Education
Application Control Center
Room 3671, ROB 3
Washington, DC 20202-4725

**Reminder: Applications must be received no later than 4:30 PM Eastern
Time MAY 13, 2002.**

X. OTHER INFORMATION

AUTHORIZING LEGISLATION

ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965

as amended by

NO CHILD LEFT BEHIND ACT OF 2001

TITLE V – PROMOTING INFORMED PARENTAL CHOICE AND INNOVATIVE PROGRAMS

PART D – FUND FOR THE IMPROVEMENT OF EDUCATION

SEC. 5421. ELEMENTARY AND SECONDARY SCHOOL COUNSELING PROGRAMS

`(a) GRANTS AUTHORIZED-

`(1) IN GENERAL- The Secretary is authorized to award grants to local educational agencies to enable such agencies to establish or expand elementary school and secondary school counseling programs that comply with the requirements of subsection (c)(2).

`(2) SPECIAL CONSIDERATION- In awarding grants under this section, the Secretary shall give special consideration to applications describing programs that—

 `(A) demonstrate the greatest need for new or additional counseling services among children in the schools served by the local educational agency, in part by providing information on current ratios of students to school counselors, students to school social workers, and students to school psychologists;

 `(B) propose the most promising and innovative approaches for initiating or expanding school counseling; and

 `(C) show the greatest potential for replication and dissemination.

`(3) EQUITABLE DISTRIBUTION- In awarding grants under this section, the Secretary shall ensure an equitable geographic distribution among the regions of the United States and among local educational agencies located in urban, rural, and suburban areas.

`(4) DURATION- A grant under this section shall be awarded for a period not to exceed 3 years.

`(5) MAXIMUM GRANT- A grant awarded under this section shall not exceed \$400,000 for any fiscal year.

`(6) SUPPLEMENT, NOT SUPPLANT- Funds made available under this section shall be used to supplement, and not supplant, other Federal, State, or local funds used for providing school-based counseling and mental health services to students.

`(b) APPLICATIONS-

`(1) IN GENERAL- Each local educational agency desiring a grant under this section shall submit an application to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may reasonably require.

`(2) CONTENTS- Each application for a grant under this section shall--

`(A) describe the school population to be targeted by the program, the particular counseling needs of such population, and the current school counseling resources available for meeting such needs;

`(B) describe the activities, services, and training to be provided by the program and the specific approaches to be used to meet the needs described in subparagraph (A);

`(C) describe the methods to be used to evaluate the outcomes and effectiveness of the program;

`(D) describe how the local educational agency will involve community groups, social service agencies, and other public and private entities in collaborative efforts to enhance the program and promote school-linked services integration;

`(E) document that the local educational agency has the personnel qualified to develop, implement, and administer the program;

`(F) describe how diverse cultural populations, if applicable, will be served through the program;

`(G) assure that the funds made available under this subpart for any fiscal year will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students; and

`(H) assure that the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators, counseling services providers described in subsection (c)(2)(D), and community leaders, to advise the local educational agency on the design and implementation of the program.

`(c) USE OF FUNDS-

`(1) IN GENERAL- The Secretary is authorized to award grants to local educational agencies to enable the local educational agencies to initiate or expand elementary school or secondary school counseling programs that comply with the requirements of paragraph (2).

`(2) REQUIREMENTS- Each program funded under this section shall--

`(A) be comprehensive in addressing the counseling and educational needs of all students;

`(B) use a developmental, preventive approach to counseling;

`(C) increase the range, availability, quantity, and quality of counseling services in the elementary schools and secondary schools of the local educational agency;

`(D) expand counseling services through qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists;

`(E) use innovative approaches to increase children's understanding of peer and family relationships, work and self, decisionmaking, or academic and career planning, or to improve peer interaction;

`(F) provide counseling services in settings that meet the range of student needs;

`(G) include in-service training appropriate to the activities funded under this Act for teachers, instructional staff, and appropriate school personnel, including in-service training in appropriate identification and early intervention techniques by school counselors, school social workers, school psychologists, other qualified psychologists, and child and adolescent psychiatrists;

`(H) involve parents of participating students in the design, implementation, and evaluation of the counseling program;

`(I) involve community groups, social service agencies, or other public or private entities in collaborative efforts to enhance the program and promote school-linked integration of services;

`(J) evaluate annually the effectiveness and outcomes of the counseling services and activities assisted under this section;

`(K) ensure a team approach to school counseling in the schools served by the local educational agency by working toward ratios recommended by the American School Health Association of 1 school counselor to 250 students, 1 school social worker to 800 students, and 1 school psychologist to 1,000 students; and

`(L) ensure that school counselors, school psychologists, other qualified psychologists, school social workers, or child and adolescent psychiatrists paid from funds made available under this section spend a majority of their time counseling students or in other activities directly related to the counseling process.

`(d) LIMITATION ON ADMINISTRATIVE COSTS- Not more than 4 percent of the amounts made available under this section for any fiscal year may be used for administrative costs to carry out this section.

`(e) DEFINITIONS- For the purpose of this section—

`(1) the term 'child and adolescent psychiatrist' means an individual who--

`(A) possesses State medical licensure; and

`(B) has completed residency training programs in both general psychiatry and child and adolescent psychiatry;

`(2) the term 'other qualified psychologist' means an individual who has demonstrated competence in counseling children in a school setting and who—

`(A) is licensed in psychology by the State in which the individual works; and

`(B) practices in the scope of the individual's education, training, and experience with children in school settings;

`(3) the term `school counselor' means an individual who has documented competence in counseling children and adolescents in a school setting and who--

`(A) is licensed by the State or certified by an independent professional regulatory authority;

`(B) in the absence of such State licensure or certification, possesses national certification in school counseling or a specialty of counseling granted by an independent professional organization; or

`(C) holds a minimum of a master's degree in school counseling from a program accredited by the Council for Accreditation of Counseling and Related Educational Programs or the equivalent;

`(4) the term `school psychologist' means an individual who--

`(A) has completed a minimum of 60 graduate semester hours in school psychology from an institution of higher education and has completed 1,200 clock hours in a supervised school psychology internship, of which 600 hours are in the school setting;

`(B) is licensed or certified in school psychology by the State in which the individual works; or

`(C) in the absence of such State licensure or certification, possesses national certification by the National School Psychology Certification Board; and

`(5) the term `school social worker' means an individual who--

`(A) holds a master's degree in social work from a program accredited by the Council on Social Work Education; and

`(B)(i) is licensed or certified by the State in which services are provided; or

`(ii) in the absence of such State licensure or certification, possesses a national credential or certification as a school social work specialist granted by an independent professional organization.

`(f) **REPORT-** Not later than 2 years after assistance is made available to local educational agencies under subsection (c), the Secretary shall make publicly available a report—

`(1) evaluating the programs assisted pursuant to each grant under this subpart; and

`(2) outlining the information from local educational agencies regarding the ratios of students to-

-

`(A) school counselors;

`(B) school social workers; and

`(C) school psychologists.

`(g) **SPECIAL RULE-**

`(1) **AMOUNT EQUALS OR EXCEEDS \$40,000,000-** If the amount of funds made available by the Secretary for this subpart equals or exceeds \$40,000,000, the Secretary shall award not less than \$40,000,000 in grants to local educational agencies to enable the agencies to establish or expand counseling programs in elementary schools.

`(2) AMOUNT LESS THAN \$40,000,000- If the amount of funds made available by the Secretary for this subpart is less than \$40,000,000, the Secretary shall award grants to local educational agencies only to establish or expand counseling programs in elementary schools.

STATE SINGLE POINT OF CONTACT

In accordance with Executive Order #12372, this listing represents the designated State Single Points of Contact. Because participation is voluntary, some States and Territories no longer participate in the process. These include: Alabama, Alaska, American Samoa, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Ohio, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, and Washington.

However, an applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact.

ARKANSAS

Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and Administration
1515 W. 7th St., Room 412
Little Rock, Arkansas 72203
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DELAWARE

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Executive Department
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540 S. Dupont Highway, 3rd Floor
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Fax: (302) 739-5661
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clearinghouse@dca.state.fl.us

ILLINOIS

Virginia Bova
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100 West Randolph, Suite 3-400
Chicago, Illinois 60601
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Fax: (312) 814-8485
vbova@commerce.state.il.us

CALIFORNIA

Grants Coordination
State Clearinghouse
Office of Planning and Research
P.O. Box 3044, Room 222
Sacramento, California 95812-3044
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Fax: (916) 323-3018
state.clearinghouse@opr.ca.gov

DISTRICT OF COLUMBIA

Luisa Montero-Diaz
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Executive Office of the Mayor
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Fax: (202) 727-1652
opgd.eom@dc.gov

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NEW HAMPSHIRE

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NORTH CAROLINA

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NORTH DAKOTA

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UTAH

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WISCONSIN

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GUAM

Director
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NORTH MARIANA ISLANDS

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RHODE ISLAND

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TEXAS

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WEST VIRGINIA

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AMERICAN SAMOA

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Office of the Governor/Department
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American Samoa Government
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PUERTO RICO

Jose Caballero / Mayra Silva
Puerto Rico Planning Board
Federal Proposals Review Office
Minillas Government Center
P.O. Box 41119
San Juan, Puerto Rico 00940-1119
Telephone: (787) 723-6190
Fax: (787) 722-6783

VIRGIN ISLANDS

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Fax: (340) 776-0069
lrmills@usvi.org

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the [CFDA](#).

REQUIRED FORMS
FOR THE
ELEMENTARY AND SECONDARY SCHOOL COUNSELING PROGRAMS

<http://www.ed.gov/offices/OCFO/grants/appforms.html>

Program Specific Assurances

As the duly authorized representative of the applicant, I certify that the applicant shall:

1. assure that the funds made available for any fiscal year will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students;
2. assure that the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators, and counseling service providers, and community leaders to advise the local educational agency on the design and implementation of the counseling program; and
3. use not more than 4 percent of the amounts made available for any fiscal year for administrative costs.

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

GRANT APPLICATION RECEIPT ACKNOWLEDGMENT

If you fail to receive the notification of application receipt within fifteen (15) days from the closing date, call:

U.S. Department of Education
Application Control Center
(202) 708-9493

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page: <http://www.ed.gov/> (WWW address)
<gopher://gopher.ed.gov/> (Gopher address)

OCFO Web Internet Page <http://ocfo.ed.gov/> (WWW address)

DUNS NUMBER INSTRUCTIONS

Please provide the applicant's D-U-N-S Number. If you do not currently have a D-U-N-S Number you can obtain one at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

<http://www.dnb.com/dunsno/whereduns.htm>

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built-in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S Numbers to over 43 million companies worldwide.

TAX IDENTIFICATION NUMBER INSTRUCTIONS

Enter the tax identification number as assigned by the Internal Revenue Service.